

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  Date Submitted: March 8, 2010  <i>(use as many sheets as necessary)</i>				Application Number	10/747,740
				Filing Date	12/29/2003
				First Named Inventor	F. Scott Whipple
				Art Unit	3691
				Examiner Name	CHANG, EDWARD
Sheet	1	of	5	Attorney Docket Number	037607-0257

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A1	7,099,843 B1	08-29-2006	Cassidy et al.	
	A2	7,028,007 B1	04-11-2006	Abrahams et al.	
	A3	6,999,942 B2	02-14-2006	Kemper et al.	
	A4	6,546,375 B1	04-08-2003	Pang et al.	
	A5	6,460,021 B1	10-01-2002	Kirksey	
	A6	6,381,586 B1	04-30-2002	Glasserman et al.	
	A7	6,304,858 B1	10-16-2001	Mosler et al.	
	A8	6,088,685	07-11-2000	Kiron et al.	
	A9	5,966,700	10-12-1999	Gould et al.	
	A10	5,946,667	08-31-1999	Tull, Jr. et al.	
	A11	5,852,811	12-22-1998	Atkins	
	A12	5,806,048	09-08-1998	Kiron et al.	
	A13	5,692,233	11-25-1997	Garman	
	A14	5,563,783	10-08-1996	Stolfo et al.	
	A15	5,557,517	09-17-1996	Daughterty, III	
	A16	US 2005/0222940 A1	10-06-2005	Schulman	
	A17	US 2005/0222929 A1	10-06-2005	Steier et al.	
	A18	US 2005/0222928 A1	10-06-2005	Steier et al.	
	A19	US 2005/0216399 A1	09-29-2005	Colvin	
	A20	US 2005/0209899 A1	09-22-2005	King et al.	
	A21	US 2005/0209876 A1	09-22-2005	Kennis et al.	
	A22	US 2005/0203972 A1	09-15-2005	Cochran et al.	
	A23	US 2005/0197952 A1	09-08-2005	Shea et al.	
	A24	US 2005/0197931 A1	09-08-2005	Gupta	
	A25	US 2005/0192875 A1	09-01-2005	White et al.	
	A26	US 2005/0177485 A1	08-11-2005	Peter	
	A27	US 2005/0165668 A1	07-28-2005	Hinkle	
	A28	US 2005/0131796 A1	06-16-2005	Bridges et al.	
	A29	US 2005/0131789 A1	06-16-2005	Mintz	
	A30	US 2005/0125318 A1	06-09-2005	Jameson	
	A31	US 2005/0119962 A1	06-02-2005	Bowen et al.	
	A32	US 2005/0102204 A1	05-12-2005	Kataoka	
	A33	US 2005/0086148 A1	04-21-2005	Woodruff et al.	
	A34	US 2005/0075961 A1	04-07-2005	McGill	
	A35	US 2005/0075960 A1	04-07-2005	Leavitt et al.	
	A36	US 2005/0065941 A1	03-24-2005	DeAngelis et al.	

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  Date Submitted: March 8, 2010  <i>(use as many sheets as necessary)</i>				Application Number	10/747,740
				Filing Date	12/29/2003
				First Named Inventor	F. Scott Whipple
				Art Unit	3691
				Examiner Name	CHANG, EDWARD
Sheet	2	of	5	Attorney Docket Number	037607-0257

### U.S. PATENT DOCUMENTS

		Document Number			
A37	US 2005/0065865 A1	03-24-2005	Salomon et al.		
A38	US 2005/0044019 A1	02-24-2005	Novick et al.		
A39	US 2005/0027634 A1	02-03-2005	Gershon		
A40	US 2005/0021434 A1	01-27-2005	D'Loren		
A41	US 2004/0220872 A1	11-04-2004	Pollock, II		
A42	US 2004/0172356 A1	09-02-2004	Agarwal et al.		
A43	US 2004/0167848 A1	08-26-2004	Agarwal et al.		
A44	US 2004/0167812 A1	08-26-2004	Haney, II		
A45	US 2004/0158520 A1	08-12-2004	Noh		
A46	US 2004/0158515 A1	08-12-2004	Schoen		
A47	US 2004/0153384 A1	08-05-2004	Whipple et al.		
A48	US 2004/0148240 A1	07-29-2004	Gulati et al.		
A49	US 2004/0148239 A1	07-29-2004	Albee et al.		
A50	US 2004/0143528 A1	07-22-2004	Spieler et al.		
A51	US 2004/0138977 A1	07-15-2004	Tomkins et al.		
A52	US 2004/0128235 A1	07-01-2004	Kemper et al.		
A53	US 2004/0128229 A1	07-01-2004	Whipple et al.		
A54	US 2004/0128228 A1	07-01-2004	Whipple et al.		
A55	US 2004/0128227 A1	07-01-2004	Whipple et al.		
A56	US 2004/0111342 A1	06-10-2004	Wang		
A57	US 2004/0098329 A1	05-20-2004	Tilton		
A58	US 2004/0098327 A1	05-20-2004	Seaman		
A59	US 2004/0083158 A1	04-29-2004	Addison et al.		
A60	US 2004/0064393 A1	04-01-2004	Luenberger		
A61	US 2004/0064392 A1	04-01-2004	Barkman, Jr.		
A62	US 2004/0064331 A1	04-01-2004	Mayer et al.		
A63	US 2004/0059651 A1	03-25-2004	MaGuire, III et al.		
A64	US 2004/0044613 A1	03-04-2004	Murakami et al.		
A65	US 2004/0006528 A1	01-08-2004	Fung		
A66	US 2003/0220861 A1	11-27-2003	Broms et al.		
A67	US 2003/0208430 A1	11-06-2003	Gershon		
A68	US 2003/0163414 A1	08-28-2003	O'Brien et al.		
A69	US 2003/0154153 A1	08-14-2003	Steidlmayer et al.		
A70	US 2003/0144950 A1	07-31-2003	O'Brien et al.		
A71	US 2003/0144947 A1	07-31-2003	Payne		
A72	US 2003/0135451 A1	07-17-2003	O'Brien et al.		
A73	US 2003/0115128 A1	06-19-2003	Lange et al.		
A74	US 2003/0110045 A1	06-12-2003	Kehrli et al.		

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> Date Submitted: March 8, 2010 <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				<b>Application Number</b>	10/747,740
				<b>Filing Date</b>	12/29/2003
				<b>First Named Inventor</b>	F. Scott Whipple
				<b>Art Unit</b>	3691
				<b>Examiner Name</b>	CHANG, EDWARD
Sheet	3	of	5	<b>Attorney Docket Number</b>	037607-0257

U.S. PATENT DOCUMENTS					
		Document Number			
	A75	US 2003/0105708 A1	06-05-2003	Lee	
	A76	US 2003/0105696 A1	06-05-2003	Kalotay et al.	
	A77	US 2003/0103188 A1	06-05-2003	Zeltzer	
	A78	US 2003/0101120 A1	05-29-2003	Tilton	
	A79	US 2003/0083978 A1	05-01-2003	Brouwer	
	A80	US 2003/0074306 A1	04-17-2003	Rios et al.	
	A81	US 2003/0074293 A1	04-17-2003	Kiron et al.	
	A82	US 2003/0061148 A1	03-27-2003	Alavian	
	A83	US 2003/0033225 A1	02-13-2003	Meldahl	
	A84	US 2003/0028468 A1	02-06-2003	Wong et al.	
	A85	US 2003/0018570 A1	01-23-2003	McCabe et al.	
	A86	US 2003/0014355 A1	01-16-2003	Browne et al.	
	A87	US 2003/0009405 A2	01-09-2003	Kiron et al.	
	A88	US 2003/0009404 A2	01-09-2003	Kiron et al.	
	A89	US 2002/0178101 A1	11-28-2002	Swift	
	A90	US 2002/0156719 A1	10-24-2002	Finebaum et al.	
	A91	US 2002/0138299 A1	09-26-2002	Nations	
	A92	US 2002/0133456 A1	09-19-2002	Lancaster et al.	
	A93	US 2002/0116317 A1	08-22-2002	May	
	A94	US 2002/0107774 A1	08-08-2002	Henninger et al.	
	A95	US 2002/0103738 A1	08-01-2002	Griebel et al.	
	A96	US 2002/0103667 A1	08-01-2002	Jannah et al.	
	A97	US 2002/0087373 A1	07-04-2002	Dickstein et al.	
	A98	US 2002/0082852 A1	06-27-2002	Greene et al.	
	A99	US 2002/0065755 A1	05-30-2002	Shlafman et al.	
	A100	US 2002/0055905 A1	05-09-2002	Jannah et al.	
	A101	US 2002/0055897 A1	05-09-2002	Shidler et al.	
	A102	US 2002/0035530 A1	03-21-2002	Ervolini et al.	
	A103	US 2001/0044762 A1	11-22-2001	Nault	
	A104	US 2001/0025264 A1	09-27-2001	Deaddio et al.	

UNPUBLISHED U.S. PATENT APPLICATION DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Application Document	Filing Date of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Serial Number-Kind Code <sup>2</sup> (if known)			
	A105	11/755,603	05-30-2007	Battany	All
	A106	11/788,356	04-18-2007	Ives	All

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  Date Submitted: March 8, 2010  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/747,740
				Filing Date	12/29/2003
				First Named Inventor	F. Scott Whipple
				Art Unit	3691
				Examiner Name	CHANG, EDWARD
Sheet	4	of	5	Attorney Docket Number	037607-0257

### UNPUBLISHED U.S. PATENT APPLICATION DOCUMENTS

		U.S. Patent Application Document			
	A107	11/786,552	04-11-2007	Kemper	All
	A108	11/786,456	04-11-2007	Whipple	All
	A109	11/786,323	04-11-2007	Whipple	All
	A110	11/726,364	03-21-2007	Washington	All
	A111	10/331,576	12-30-2002	Whipple	All

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	A112	JP 2004-38372 A	02-05-2004	Nakazato		
	A113	WO 2004/072778 A2	08-26-2004	Noh		
	A114	WO 2004/066102 A2	08-05-2004	Goldberg et al.		
	A115	WO 2004/066101 A2	08-05-2004	Perry et al.		
	A116	WO 2004/061735 A1	07-22-2004	Whipple et al.		
	A117	WO 2004/061559 A2	07-22-2004	Whipple et al.		
	A118	WO 2004/061558 A2	07-22-2004	Raines et al.		
	A119	WO 2004/061553 A2	07-22-2004	Kemper et al.		
	A120	WO 2004/061552 A2	07-22-2004	Whipple et al.		
	A121	WO 03/034297 A1	04-24-2003	Gershon		
	A122	WO 02/44847 A2	06-06-2002	Bridges et al.		
	A123	WO 02/37367 A1	05-10-2002	Keough et al.		
	A124	WO 01/73654 A1	10-04-2001	Barnett		
	A125	WO 01/52121 A2	07-19-2001	Crouhy et al.		
	A126	WO 01/16819 A1	03-08-2001	Uenohara et al.		
	A127	WO 99/46710 A1	09-16-1999	Ervolini et al.		

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
	A128	An Investor's Guide to Pass-Through and Collateralized Mortgage Securities, 1997, 12 pages.	
	A129	Fannie Mae Launches Benchmark REMIC(TM) Issuance, Newswire article, June 16, 2006, 2 pages.	
	A130	Fannie Mae Prices \$2.0 billion of Benchmark REMIC Trust 2006 – B1, Fannie Mae News Release, June 20, 2006, 2 pages.	

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  Date Submitted: March 8, 2010  <i>(use as many sheets as necessary)</i>		<b>Application Number</b>	10/747,740
		<b>Filing Date</b>	12/29/2003
		<b>First Named Inventor</b>	F. Scott Whipple
		<b>Art Unit</b>	3691
		<b>Examiner Name</b>	CHANG, EDWARD
<b>Sheet</b>	5	of	5
		<b>Attorney Docket Number</b>	037607-0257

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
	A131	Fannie Mae Prospectus Supplement, Fannie Mae Guaranteed REMIC Pass-Through Certificates Fannie Mae Benchmark REMIC Trust 2006 – B1, June 20, 2006, 60 pages.	
	A132	International Search Report, International Patent Application No. PCT/US03/36855, mailed January 14, 2005, 2 pages.	
	A133	Recent Tax Developments Affecting Securitizations, McKee Nelson, October 11, 2004, 4 pages.	
	A134	Fannie Mae Announces Additional Enhancements for Mortgage-Backed Securities Disclosures, Fannie Mae News Release, October 27, 2004, 2 pages.	
	A135	Fannie Mae Fulfills Commitment to Provide Additional Information on Existing Mortgage-Backed Securities, Fannie Mae News Release, June 12, 2003, 2 pages.	
	A136	MBSenger, Updating the Investment Community on Fannie Mae Mortgage Products and Programs, June 2006, Vol. 1 No. 2, 2 pages.	
	A137	Freddie Mac; Focus on: Guaranteed Maturity Securities (GMS), believed to be available at least by 03/21/2007, 2 pages.	
	A138	Freddie Mac, Reference REMIC Series R003, June 1, 2003, 94 pages.	
	A139	Freddie Mac, Multiclass Certificates, REMIC Certificates, MACR Certificates, June 1, 2003, 68 pages.	
	A140	Federal Home Loan Mortgage Corporation, Multiclass Certificates Agreement, June 1, 2003, 22 pages.	
	A141	Mayewski, L., "Interest Rate Swings Inspire New Strategies", Best's Review (Life/Health), vol. 95, n9, Jan. 1995, pages 45 and 98+.	
	A142	Lacey, N., "The Detection and Control of Systematic Prepayment Risk in Mortgage-Backed Securities", 1985, vol. 46, page 2738.	
	A143	International Search Report, International Patent Application No. PCT/US03/036960, mailed June 10, 2005, 4 pages.	
	A144	International Search Report, International Patent Application No. PCT/US03/036865, mailed June 15, 2004, 1 page.	
	A145	International Search Report, International Patent Application No. PCT/US03/37194, mailed Dec. 1, 2004, 3 pages.	
	A146	Lumpkin, S., "Trends and Developments in Securitization", Financial Market Trends, n74, October 1999, pages 25 – 59.	
	A147	AMENDED AND RESTATED TRUST AGREEMENT, available at least by April, 2002 (20 pp.).	
	A148	SMBS Prospectus, "FANNIE MAE Stripped Mortgage-Backed Securities ("SMBS Certificates"), date of Prospectus May 1, 2002 (38 pp.).	
	A149	International Search Report based on International Application No. PCT/US03/36867, date of mailing of the International Search Report December 29, 2004, 2 pages.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.